Office of Human Capital Management

SES Case Documentation—Rank Awards
Process Guide (3.2.1.9)
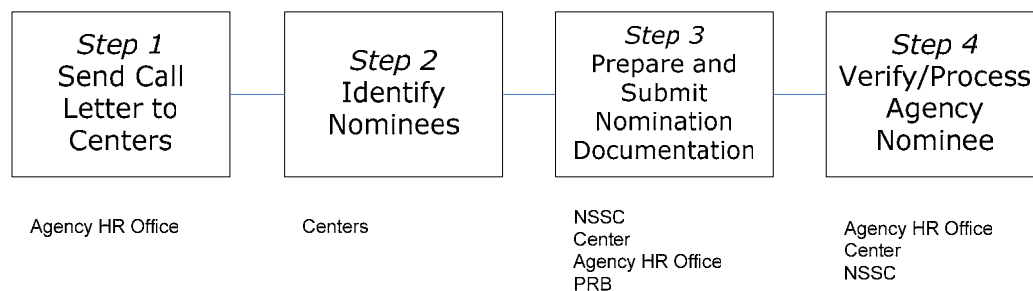
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July 25, 2005

SES Case Documentation—Rank Awards

Introduction

Each year, the President recognizes and celebrates a select group of career members of the Senior Executive Service (SES) and Senior Level Scientific and Professional (SL/ST) corps for outstanding leadership accomplishments and service over an extended period of time. There are two categories of rank awards: Distinguished and Meritorious. Award winners are chosen through a rigorous selection process. They are nominated by their agency heads, evaluated by boards of private citizens, and approved by the President. Centers and NASA Shared Services Center (NSSC) will support the Agency in preparation of nomination packages.

Process

Overview of SES Case Documentation–Rank Awards Process

Step 1 Send Call Letter to Centers	*Step 2* Identify Nominees	*Step 3* Prepare and Submit Nomination Documentation	*Step 4* Verify/Process Agency Nominee
Agency HR Office	Centers	NSSC Center Agency HR Office PRB	Agency HR Office Center NSSC

Roles and Responsibilities	Action	Tips
Step 1 **OHCM** Send Call Letter to Centers	Upon receipt of Call Letters for Nominations from OPM, the OHCM sends a Call Letter to Centers for nomination recommendations. **Output:** Call Letter	OHCM usually dispatches these in November with approximately a month turn-around. The call letter includes rules and regulations, evaluation criteria, tips and additional instructions on package preparation.
Step 2	Centers will identify nominees and submit their nominations to NSSC with all relevant	See detailed call letter for information that

Roles and Responsibilities	Action	Tips
Centers Identify Nominees	information necessary to support NSSC's writing of the nomination. (The Center is only providing backup information and is not expected to write a first draft.) **Output:** Nominees for Rank Awards; documentation/information on nominees	might be relevant to a nominee's justification.
Step 3 **NSSC** **Center** Prepare Nomination Documentation	NSSC prepares the documentation for each nominee and sends it to the respective Centers for review. NSSC will work with the nominee, or nominating official in drafting the documentation to ensure a complete, focused submission. Documentation must be well-written and thorough to enable a competitive nominee. After Centers complete their review, (and work with NSSC on needed edits/revisions) they send the nominations to the Mission Directorates (MD) for integration/approval. The Center submits the approved nominations, with documentation, to the OHCM. **Output:** Reviewed and approved Nomination Documentation	Nominees may be contacted directly for input to ensure details are correct and inclusive. Review OPM details via website which is provided in Call Letter; Forms may be located there, as well. Nominations are made both in hard copy and email.
Step 3 **OHCM** Review Nomination Documentation	Upon receipt of Nomination Documentation from MD, the OHCM will review them for accuracy and completeness; they will also resolve any issues with the documentation through the Center contact. The Nomination Documentation is sent to the Performance Review Board (PRB). The PRB will review, prioritize and integrate all nominations then make their nominee recommendations to the Senior Executive Committee (SEC). The SEC will review the nominations of direct reports as well as PRB members and incorporate them along with the Administrator's nominations into the PRB's nomination list. This integrated, prioritized list of all nominations will then be forwarded to the NASA Administrator. The OHCM will obtain the Administrator's signature for the recommended nominees. Concurrently, the OHCM will vet the nomination list through the Agency Security Office, Equal Employment Opportunity Office, General Counsel, and the Inspector General to ensure that all names are clear of any circumstances that may be an embarrassment to the Agency. The final	Additional information may be required should the Agency note any inaccurate or incomplete packages. Review and selection is usually made by early January by the Administrator.

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Roles and Responsibilities	Action	Tips
	nomination list along with documentation will be submitted to OPM. **Output:** Finalized nominations	
Step 3 **OPM** Review Nominations and Make Selection	OPM will convene panels of private citizens to review nominations and recommend selections. OPM will do a complete background investigation on the selected Distinguished nominees. OPM will send nominee list along with instructions on how to remove names, if necessary, to OHCM for reverification of appropriateness. **Output:** N/A	
Step 4 **OHCM** Verify Nominees	OHCM will again vet the nomination list through the Agency Security Office, Equal Employment Opportunity Office, General Counsel, and the Inspector General, obtain the Administrator's signature on cleared list and return the signed list to OPM. **Output:** Final cleared list of nominees	
Step 4 **OHCM** Notify Centers and Administrator	After the President's approval, OPM will send the Agency's recipient list to the Agency HR Office. The Agency HR Office will notify Centers and Administrator of the recipients. The Administrator and/or Center will notify the recipients that they have been selected for the SES Rank Award and notify the candidates that were not selected. **Output:** N/A	Some additional information such as an electronic photo and summary write-up may be required for Distinguished may be required for selectees. OHCM will request this information from Center Contacts when notified by OPM (usually Jan./Feb. timeframe).
Step 4 **NSSC** Process Personnel Payroll Action	NSSC processes any necessary personnel payroll action. **Output:** Completed payroll action	Remind winners that they are expected to attend NASA/OPM recognition events.

Metrics

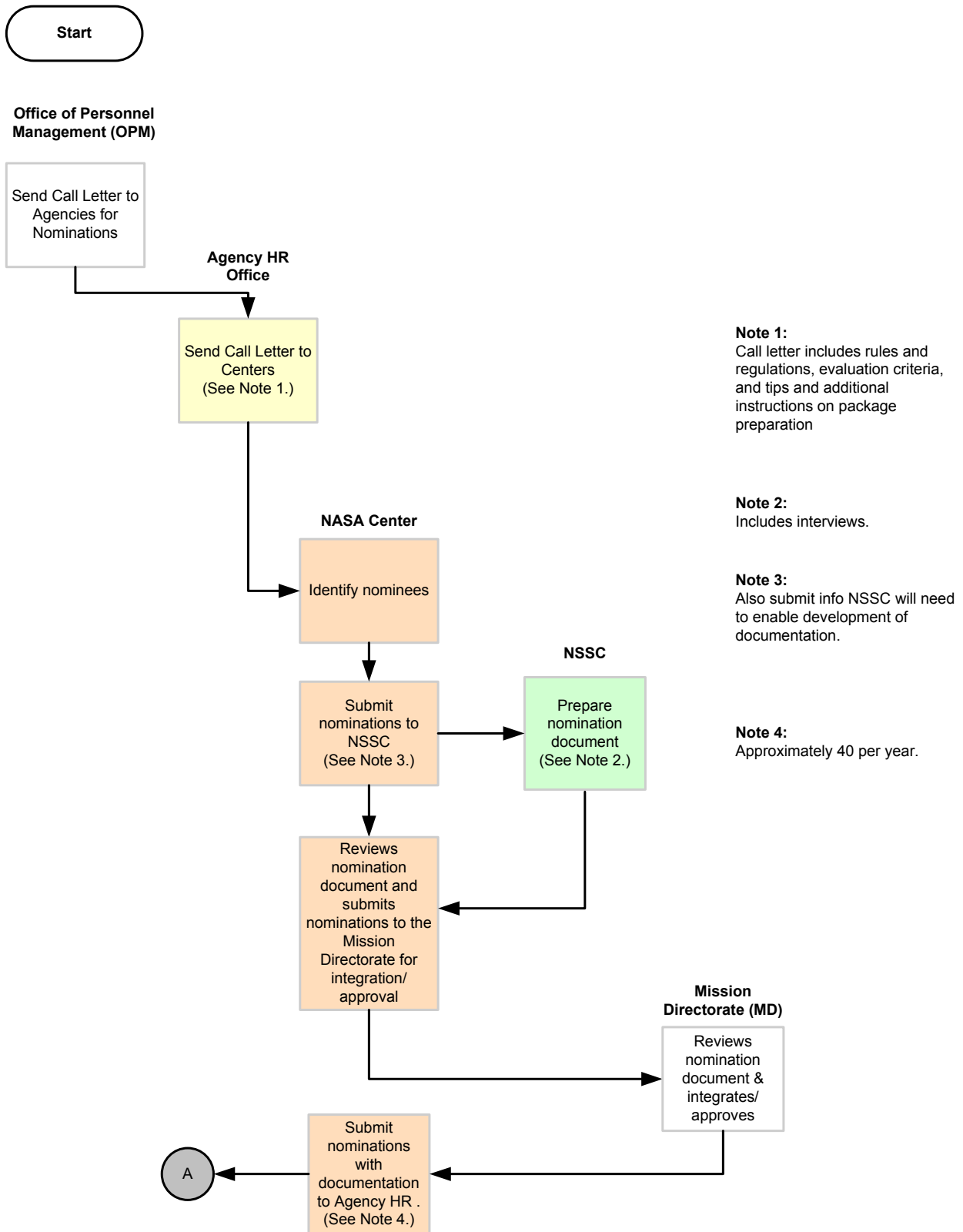| Initiating Office/Entity	Deliverable (Output)	Receiving Office/Entity	Metric
OHCM	Agency Call Letter	Centers	Within 1-2 weeks of receipt
Centers	Nominees identified	NSSC	Within 14 days of Call Letter Notification receipt
NSSC	Nomination Documentation	Centers	Within 10 days of Nominee list receipt
Centers	Reviewed Nomination Documentation	Mission Directorate	Within 3 days of receipt
Mission Directorate	Approved Nomination Documentation	OHCM	Within 2 days of receipt
OHCM	Nomination Documentation	Performance Review Board	Within 1 week of receipt
Performance Review Board	Nominee recommendation List	Senior Executive Committee	Within 3 days of receipt
Senior Executive Committee	Nominee recommendation List	Administrator	Within 3 days of receipt
OHCM	Nominee list and documentations	OPM	Within 3 days of receipt
NSSC	Completed payroll action	Centers	Within 2 days of receipt

Privacy Data

Individual personnel record, and in particular name and social security number, must be protected under Federal guidelines.

Appendix X
SES Case Documentation—Rank Awards

Start

Office of Personnel Management (OPM)

Send Call Letter to Agencies for Nominations

Agency HR Office

Send Call Letter to Centers
(See Note 1.)

Note 1:
Call letter includes rules and regulations, evaluation criteria, and tips and additional instructions on package preparation

NASA Center

Identify nominees

Note 2:
Includes interviews.

Note 3:
Also submit info NSSC will need to enable development of documentation.

NSSC

Submit nominations to NSSC
(See Note 3.)

Prepare nomination document
(See Note 2.)

Note 4:
Approximately 40 per year.

Reviews nomination document and submits nominations to the Mission Directorate for integration/ approval

Mission Directorate (MD)

Reviews nomination document & integrates/ approves

Submit nominations with documentation to Agency HR .
(See Note 4.)

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**Agency HR
Office**

(A)

Review
Nominations for
Accuracy and
Completeness

Resolve any Issues
Prior to Submission
to Performance
Review Board (PRB)

Send Nominations
to PRB

**Performance
Review Board
(PRB)**

Review
Nominations.

Recommend SES
Nominees to
Administrator.

Obtain
Administrator's
signature & submit
recommendations
to OPM
(See Note 5.)
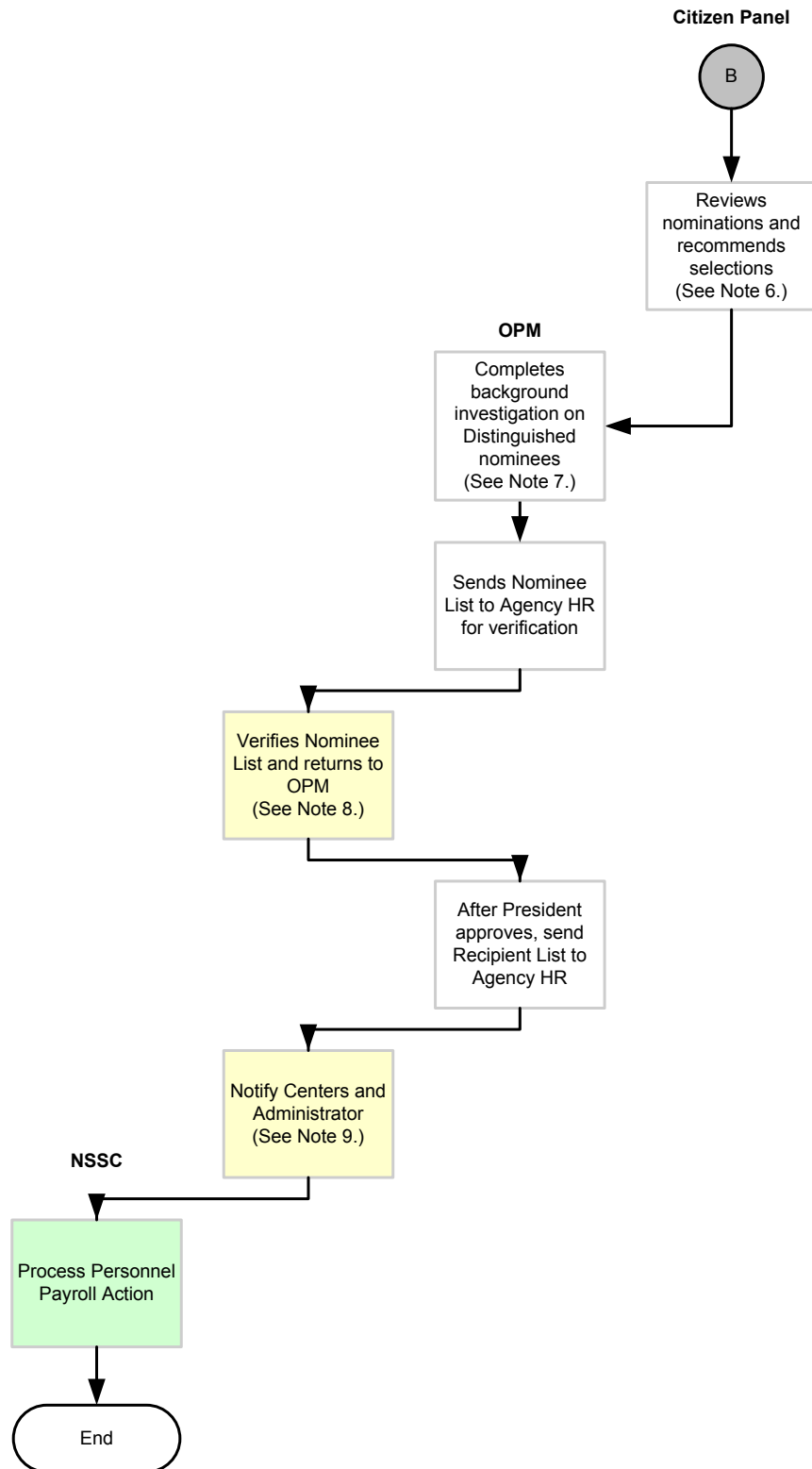
OPM

Convene a Panel
of Private Citizens

(B)

Note 5:
Concurrently vet nominations with:
- Agency Security Office
- Equal Employment Opportunity
  Office
- General Counsel
- Inspector General

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Citizen Panel

(B)

Reviews
nominations and
recommends
selections
(See Note 6.)

Note 6:
- Separate Panels for Meritorious and Distinguished
- Review Based on 5 Executive Core Qualification (ECQ) Measures
- Can take up to nine months to complete citizen panel review

OPM

Completes
background
investigation on
Distinguished
nominees
(See Note 7.)

Note 7:
OPM requires supervisor, peer, and subordinate contacts for each distinguished nominee

Sends Nominee
List to Agency HR
for verification

Note 8:
Vetting and re-check process with:
- Agency Security Office
- Equal Employment Opportunity Office
- General Counsel
- Inspector General
- To make certain no names included have cases pending or settled against them that may cause the agency embarrassment before the Adminstrator submits the names to OPM
Obtain Administrator's signature.

Verifies Nominee
List and returns to
OPM
(See Note 8.)

After President
approves, send
Recipient List to
Agency HR

Notify Centers and
Administrator
(See Note 9.)

Note 9:
Administrator may personally notify recipients

NSSC

Process Personnel
Payroll Action

(End)

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